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CAPACITY-BUILDING

CAPACITY-BUILDING IN DEVELOPING COUNTRIES (NON-ANNEX I PARTIES)

Possible elements of a draft framework for capacity-building in developing countries (non-Annex I Parties)

Note by the secretariat

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I. MANDATE AND PROGRESS

1. The Conference of the Parties (COP), by its decision 10/CP.5 requested the secretariat to develop elements of a draft framework for capacity-building activities for consideration by the subsidiary bodies at their thirteenth sessions (FCCC/CP/1999/6/Add.1), with a view to comprehensive decision on capacity-building being adopted at COP 6. The secretariat was requested to carry out this task in close consultation with Parties at the twelfth sessions of the subsidiary bodies, and based on the information compiled and synthesized and relevant discussions of other issues under the Convention and its Kyoto Protocol. The secretariat was also requested to coordinate closely with, and seek the assistance of, the Global Environment Facility (GEF), as an operating entity of the financial mechanism, and the secretariats of relevant United Nations agencies and international organizations, and bilateral and multilateral institutions.

2. Accordingly, the secretariat compiled and synthesized information contained in national communications and submissions relevant to capacity-building needs, priorities and activities, and made this available prior to the twelfth sessions of the subsidiary bodies (FCCC/SB/2000/INF.1, INF.3, INF.4, INF.6, INF.8 and INF.9). During the informal meetings prior to the twelfth sessions, a Chairman's paper was developed identifying possible elements of a draft framework for capacity-building activities in developing countries. Several Parties submitted comments on the Chairman's paper.

3. The GEF and the United Nations Development Programme (UNDP) presented the preliminary results of the needs assessment phase of their Capacity Development Initiative (CDI) to further inform the consultations during the informal meetings prior to the twelfth sessions of the subsidiary bodies. Since then, the GEF and UNDP have organized CDI regional workshops for Eastern Europe and Central Asia (17-18 July 2000 in Prague), Asia and the Pacific (27-28 July 2000 in Beijing), Small Island Developing States (28-29 July in Apia), Africa (31 July-1 August 2000 in Cairo), Latin America and the Caribbean (31 July-1 August 2000 in Rio de Janeiro) to finalize the results of its needs assessment phase.

4. During the informal meetings prior to the thirteenth sessions of the subsidiary bodies, the final results of the needs assessment phase of CDI will be presented by the GEF and UNDP. In addition, the United Nations Institute for Training and Research (UNITAR) and the North-South Dialogue will present the preliminary results of their Kyoto Protocol needs assessment project.

II. POSSIBLE ACTION BY THE SUBSIDIARY BODIES

5. The subsidiary bodies may wish to consider the results of the CDI and other related activities, relevant discussions of other issues under the Convention and its Kyoto Protocol, and the possible elements of a draft framework identified in the revised Chairman's paper, and develop a draft decision establishing the elements of a framework for capacity-building in developing countries.

Annex

REVISED CHAIRMAN'S PAPER

Possible elements of a draft framework for capacity-building in developing countries

A. Purposes

1. A framework for capacity-building activities in developing countries serves the following purposes:

(a) To set out an initial scope for capacity-building activities under the Convention and the Kyoto Protocol;

(b) To provide the basis for an action plan that would lead to capacity-building activities that would support, in a timely manner, the adequate implementation of the Convention and the Kyoto Protocol by developing countries;

(c) To consolidate guidance on capacity-building to the financial mechanism and other relevant institutions;

(d) To establish a process by which Parties can review progress in the implementation of the elements of a framework for capacity-building.

B. Guiding principles and approaches

2. The elements of a framework for capacity-building in developing countries are guided and informed by, inter alia, Article 4.1, 4.3, 4.4, 4.5, and 4.7, in the context of Article 3, and also Articles 5 (c) and 6 (b) of the Convention, and relevant provisions contained in decisions 10/CP.2, 11/CP.2, 9/CP.3, 2/CP.4, 4/CP.4, 5/CP.4, 6/CP.4, 7/CP.4, 12/CP.4, 14/CP.4, and 10/CP.5,[1] and will be revised in the light of future decisions.

3. Capacity-building is critical to the effective participation of developing countries in the Convention and Kyoto Protocol processes and must be comprehensively addressed. It should contribute to and promote sustainable development through the adequate implementation of the Convention and Kyoto Protocol by developing countries.

4. Capacity-building activities should be driven by developing countries themselves. They are to be undertaken primarily by developing countries in partnership with developed countries for developing countries. There is no "one size fits all" formula for capacity-building, as it is country-driven.

5. Capacity-building activities should respond to the needs assessed and determined by developing countries themselves. Financial and other assistance should be made available to developing countries to enable them to assess and determine their needs for capacity-building and provide the leadership to implement effective capacity-building activities.

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[1] For the full texts of decisions adopted by the Conference of the Parties at its second, third, fourth and fifth sessions, see documents FCCC/CP/1996/15/Add.1, FCCC/CP/1997/7/Add.1, FCCC/CP/1998/16/Add.1 and FCCC/CP/1999/6/Add.1 respectively.

6. Capacity-building should be incorporated into national development strategies and involve a broad range of stakeholders in a manner appropriate to the circumstances of each and every developing country. All stakeholders, including civil society and the private sector, should have access to capacity-building activities.

7. Capacity-building activities should address the specific needs and conditions of developing countries and reflect their national initiative, strategies and policy priorities so that the capacities developed are owned and further built upon by the developing countries themselves. Capacity-building is a long-term and progressive process which should be sustained to ensure that the capacities developed are useful to and supportive of the long-term objectives and priorities, and are able to evolve to meet future needs of developing countries in implementing sustainable development and the objectives of the Convention and the Kyoto Protocol.

8. Capacity-building should be designed and implemented to ensure that the endogenous capacities and capabilities of developing countries are developed and optimally utilized.

9. Capacities developed to implement the Convention and the Kyoto Protocol can contribute to sustainable development and the implementation of other global environmental agreements. Capacity-building activities should maximize such synergies.

10. The financial mechanism and multilateral and bilateral funding agencies should provide the additional financial resources required to implement the elements of a framework for capacity-building in developing countries. Capacity-building should be designed and implemented in a flexible manner to take into account emerging needs and the circumstances of developing countries, in particular the least developed countries and small island developing States.

11. Capacity-building involves "learning by doing". Demonstration projects are critical in identifying and learning about the specific capacities that need to be further developed and are an effective means of identifying and testing future activities to promote sustainable development through the implementation of the Convention and its Kyoto Protocol.

12. Capacity-building is a continuous and long-term process which should be implemented in stages based on the priorities of developing countries.

13. Capacity-building is more effective when it is coordinated at all levels (country, regional and international) through dialogue between and among developing and developed countries, and when past and existing efforts are taken into account.

14. Whenever possible and effective, capacity-building should mobilize existing national institutions and centres of excellence in developing countries, and build on existing processes and existing endogenous capacities. National focal points have an important role to play in ensuring coordination at the country and regional levels and should serve as focal points for coordinating capacity-building activities.

15. National institutions, including centres of excellence in developing countries such as research centres, institutions and universities, have an important role to play in providing capacity-building services to developing countries. Such centres can incorporate traditional

skills, knowledge and practices, provide appropriate, high-quality services to developing countries, and facilitate information sharing.

C. Objectives and scope of capacity-building

Objectives

16. Capacity-building should contribute to sustainable development through the implementation of the Convention and the Kyoto Protocol by developing countries. It should be designed and implemented so that it clearly results in the development, strengthening, enhancement and improvement of new and existing institutions, human resources, technology and equipment, knowledge and information, methodologies and practices, and the participation and networking of developing countries within an enabling environment to achieve sustainable development and to implement their commitments under the Convention and the Kyoto Protocol. Capacity-building implies investing, financing, educating, training, networking, developing, and providing support for new and existing institutions, human resources, technologies, and processes in developing countries.

Scope for capacity-building

17. To ensure that capacity-building activities are driven by developing countries, developing countries should determine their specific priorities, objectives, time-frames and options to implement the Convention and the Kyoto Protocol consistent with their national sustainable development strategies and identify their specific needs for capacity-building on a country-by-country basis, taking into account existing capacities and past and current activities undertaken by bilateral and multilateral institutions and the private sector. Financial and other assistance should be made available to developing countries to enable them to assess and determine their needs for capacity-building and provide the institutional leadership to implement effective capacity-building activities.

18. The initial scope of needs and areas for capacity-building in developing countries were broadly identified in the annex to decision 10/CP.5, in the compilation and synthesis document prepared by the secretariat (FCCC/SB/2000/INF.2), and in submissions by Parties (FCCC/SB/2000/INF.5). These needs and areas for capacity-building relate to the implementation of Article 4.1, 4.3, 4.4, 4.5, and 4.7, in the context of Article 3, and also Articles 5 (c) and 6 (b) of Convention, and the participation by developing countries in the Kyoto Protocol. The following initial scope for capacity-building will be further refined as information on capacity-building evolves and as needs and priorities are further identified:

(a) Institutional capacity-building;

(b) National communications and national action plans;

(c) Greenhouse gas (GHG) inventories, including emission database management, and systems for collecting, managing and utilizing activity data and emission factors;

(d) Vulnerability and adaptation assessment;

(e) Implementation of adaptation measures;

(f) Assessment and implementation of abatement options;

(g) Research and systematic observation;

(h) Development and transfer of technology;

(i) Clean development mechanism (CDM);

(j) Capacity-building arising out of the implementation of Article 4.8 and 4.9 of the Convention and Article 3.14 of the Kyoto Protocol;

(k) Education, training and public awareness in the implementation of the Convention and the Kyoto Protocol, including the implementation of Article 6 of the Convention.

19. The institutional capacity-building needs of developing countries cut across many of the needs and areas that have been identified as well as those that will be identified on a country-by-country basis. Institutional capacity-building includes the development and strengthening of national focal points, national institutions and centres of excellence, key academic, scientific and research institutions, non-governmental organizations, the private sector and other stakeholders in developing countries. It seeks, inter alia, to ensure effective leadership and sustained efforts to implement the Convention and the Kyoto Protocol, and effective implementation of capacity-building activities at the national and local levels.

20. Institutional capacity-building also includes the establishment of national clearing houses for information sharing and networking on climate change issues and the integration of climate change in school curricula at all levels to create a concrete base for addressing climate change issues in developing countries. It may also involve early warning systems, disaster preparedness, and management of climate change related disaster management funds.

21. More specific capacity-building needs and possible responses are being identified by the Parties under the discussions on the transfer of technology, the implementation of Article 4.8 and 4.9 of the Convention and Article 3.14 of the Kyoto Protocol, national communications, mechanisms, and other issues. The decisions resulting from these discussions should further inform the strategy and scope for capacity-building in developing countries.

22. Guidelines, methodologies, good practices and other knowledge-based resources being applied and/or developed to better inform certain areas for capacity-building such as national communications and national action plans, GHG inventories and vulnerability and adaptation assessments can provide useful benchmarks, examples and approaches to better clarify the possible objectives and results of capacity-building activities in developing countries. These knowledge-based resources should be considered by developing countries in further identifying and assessing their needs and areas for capacity-building.

D. Implementation

Time-frame

23. The elements of a framework for capacity-building should be implemented promptly within a clear and specified time-frame consistent with the priority needs of developing countries and the time-frame for the implementation of the Convention and the Kyoto Protocol.

Financing and operation

24. Financial and technical support for capacity-building activities for implementing the Convention and the Kyoto Protocol in developing countries should be provided through the financial mechanism, as a major source, and through bilateral and multilateral agencies, as appropriate.

25. The operating entity of financial mechanism is expected to develop an operational strategy to implement this framework for capacity-building as part of its Capacity Development Initiative, and to report on its progress to the COP. In accordance with decision 2/CP.4, the financial mechanism should develop a streamlined and expedited approach to financing, implementing and supporting the elements of a framework for capacity-building activities.

26. Multilateral and bilateral agencies are likewise requested to provide streamlined and expedited approaches to financing, implementing and supporting this framework for capacity-building activities.

27. The capacity-building activities implemented within this framework are envisaged to operate primarily at the country level, with support from regional and subregional activities implemented by regional institutions and centres of excellence, based on the needs, priorities and strategies identified and agreed to by individual developing countries.

28. In order to maximize available resources for capacity-building and to facilitate exchange and cooperation among developing countries, developing countries through the activities of the financial mechanism and other relevant institutions should identify similar capacity-building needs and activities that can be best addressed at the regional (including subregional) and sectoral levels. The results of the next phase of the Capacity Development Initiative and other related activities can be used to further elaborate such capacity-building strategies at the regional, subregional and sectoral levels.

Responsibilities for implementation

29. In implementing the elements of a framework for capacity-building, developing countries, subject to the availability of resources, have the following responsibilities:

(a) To identify their specific priorities, objectives, time-frames and options to implement the Convention and the Kyoto Protocol consistent with their national sustainable development priorities and further identify their specific needs for capacity-building, taking into account existing capacities and past and current capacity-building activities on a country-by-country basis;

(b) To provide an enabling environment and the institutional leadership to promote the sustainability and effectiveness of capacity-building activities implemented within this framework;

(c) To improve the coordination and effectiveness of existing efforts and promote the participation and access to capacity-building activities of all stakeholders, including governments at all levels, civil society and the private sector, as appropriate;

(d) To identify and avail themselves of the capacity-building services that institutions and centres of excellence in developing countries can provide at the regional and subregional levels;

(e) To identify and report their own capacity-building activities and improve South-South cooperation.

30. In implementing the elements of a framework for capacity-building, developed countries (Annex II Parties) and other cooperating partners have the following responsibilities:

(a) To ensure the ability of additional financial and other resources necessary to implement this framework for capacity-building, including the prompt availability of financial and technical resources to enable developing countries to undertake country-level needs assessments and to develop specific capacity-building activities consistent with this framework;

(b) To respond to the capacity-building needs and priorities of developing countries in a coordinated and timely way, and to support activities implemented at the country level by national institutions, and activities implemented at the regional and subregional levels by regional institutions and centres of excellence;

(c) To provide an enabling environment to promote the sustainability and effectiveness of capacity-building activities implemented within this framework;

(d) To engage in and improve dialogue between donor agencies and developing countries.

Review of progress

31. The COP, through the Subsidiary Body for Implementation, shall regularly review the progress in the implementation of the elements of a framework for capacity-building.

32. Information to enable the COP to review progress should be reported by Parties, including in their national communications, as well as by other relevant institutions.

Role of the secretariat

33. In implementing the elements of a framework for capacity-building, the secretariat is requested to undertake the following tasks, subject to the availability of resources:

(a) To coordinate closely with, and provide substantive support to, the operating entity of the financial mechanism, its implementing agencies and other agents for capacity-building, in elaborating an operational strategy to facilitate the implementation of the elements of a framework for capacity-building;

(b) To assist developing countries in identifying their capacity-building needs by making its technical expertise available through workshops, expert meetings, advisory services and similar activities;

(c) To facilitate and mobilize the development and dissemination, including through regional and subregional institutions and centres of excellence, of knowledge-based resources such as guidelines, methodologies and good practices which assist developing countries in further identifying and assessing their needs for capacity-building;

(d) To collect, process, compile and disseminate the information needed by the COP or its subsidiary bodies to review the progress in the implementation of this framework for capacity-building;

(e) To undertake such other tasks as the COP may decide.

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